

## Memorandum

To: Bureau Directors  
Office Heads  
Solicitor

From: P. Lynn Scarlett  
Assistant Secretary for Policy, Management and Budget  
and Chief Human Capital Officer

Subject: Cascading GPRA Goals into Employee Performance Appraisal Plans

This memorandum provides guidance for cascading Government Performance and Results Act (GPRA) goals into the performance appraisal plans for managers who report directly to Senior Executive Service (SES) members.

Last year's FY2003 performance plans for the SES linked individual performance requirements to GPRA goals. To link individual performance with the Department's mission and GPRA strategic goals, we are requiring GPRA goals and performance measures be included in the performance appraisal plans of all appropriate employees. By March 31, 2004, all managers who directly report to SES must have performance appraisal plans that include critical results linked to GPRA and mission goals. In addition, by July 2004 at least 25% of the DOI workforce's performance plans must include critical results (at least one) that link to GPRA/mission goals and measures.

Therefore, by March 26, 2004, each bureau Director should provide a written certification to the Department's Office of Personnel Policy that managers who report directly to SES have signed 2004 performance appraisal plans that include critical results linked to GPRA/mission goals.

Rating officials should determine which appropriate GPRA/mission strategic goal(s), end outcome goal(s), end outcome performance measure(s), strategies, or strategy performance measure(s) to utilize for developing the critical result and related performance indicators in the employee's performance plan. However, SES should work closely with their managers throughout this process and obtain their input to the greatest extent possible. The attached guidance is designed to assist them as they work with their managers to cascade GPRA/mission goals into performance plans.

Should they require further assistance with developing employee performance elements that link to GPRA/mission elements, please contact a Human Resource Advisor in their servicing Human Resource Office. If they have technical questions about specific GPRA performance measures, please address them to their representative on the DOI Performance Management Council (PMC). Other questions about this directive should be directed to Nancy Miller in the Office of Personnel Policy at (202) 208-6754.

Attachment

## **Methods of Cascading GPRA/Mission Goals and/or Performance Measures Into Individual Performance Plans**

Described below are several ways to cascade GPRA goals and/or performance measures into individual performance plans of managers who report directly to Bureau or Office Senior Executive Service members. The examples provided relate to the GPRA **RESOURCE USE** mission area and **End Outcome Goal 5: *Deliver Water Consistent with Applicable State and Federal Law, in an Environmentally Responsible and Cost-Efficient Manner.*** An excerpt from that portion of the FY 2003 – 2008 Department of the Interior Strategic Plan is attached for your reference (exhibit 1).

### **Direct Cascade**

**Example 1:** Performance Element 1 (GPRA) of the Performance Plan for a Regional Director, may have a measure linked to the End Outcome Performance Measure, in the water delivery area, of “*10 million acre-feet of water delivered consistent with applicable substantive and procedural requirements of Federal and State water law*” (exhibit 2). An appropriate subordinate manager may be responsible for achieving a portion of that performance goal. Using that direct link, the subordinate manager may have a Critical Result in their Employee Performance Plan (DI-2002) that reads “*2 million acre-feet of water delivered consistent with applicable substantive and procedural requirements of Federal and State water law*” (exhibit 3).

### **Cascade to Strategy**

**Example 2:** Performance Element 1 (GPRA) of the SES Performance Plan for the same Regional Director, that has a measure linked to the End Outcome Performance Measure of “*10 million acre-feet of water delivered consistent with applicable substantive and procedural requirements of Federal and State water law*” (exhibit 2), may have a different subordinate that supports one of the End Outcome Goal 5 Strategies (#2): *Effective Water Management to Optimize Supply*. That manager could have a Critical Result in their Employee Performance Plan (DI-2002) of “*At least 25 agreements, partnerships and management options exercised, resulting in improved water supply*” (exhibit 3).

### **Cascading Percentage Goals**

**Example 3:** Performance Element 1 (GPRA) of the Performance Plan for the same Regional Director, may also have a measure linked to the “Reliability” End Outcome Measure of “*96% of water facilities do not receive Federal or State notices of violation under environmental requirements as defined by Federal and State Law*” (exhibit 2). To achieve the 96% goal, the Regional Director must ensure that 283 of the 293 water facilities under his/her responsibility do not receive Federal or State notices of violation under environmental requirements as defined by Federal and State Law. Cascading of this goal and performance measure would therefore focus on actions required to achieve the 96% goal. Another subordinate manager (who is responsible for the management of 150 water facilities) could have a Critical Result in their Employee Performance Plan (DI-2002) of “*Ensures at least 144 (or 96%) of 150 water facilities do not receive Federal or State notices of violation under environmental requirements as defined by Federal and State law*” (exhibit 3).

### **Cascading To Supporting Actions and Activities**

Example 4: The Regional Director in example 3 (above), who has a measure linked to the “Reliability” End Outcome Measure of “*96% of water facilities do not receive Federal or State notices of violation under environmental requirements as defined by Federal and State Law*” (exhibit 2), may also develop critical results and performance indicators for his/her direct reports using supporting actions or activities. For instance, if one of the primary contributing factors to receiving a notice of violation is the presence of hazardous waste, the direct report could have a critical result of “*Reduces hazardous waste at water facilities by developing programs for the collection, filtering, and reuse to cleaning solvents, oil, and other hazardous materials*” (exhibit 3). Another direct report who works in an area where water flow results in notices of violation of the Endangered Species Act, may have a critical result of “*Tracks river minimum water flows to ensure compliance with Endangered Species Act requirements and ensures corrective actions are taken where appropriate.*” (exhibit 3).

#### Notes:

1. If a direct report does not specifically support the accomplishment of a GPRA goal, you may link the employee’s performance element(s) to a President’s Management Agenda, Citizen-Centered Governance, or other strategic mission goal of the organization.
2. A numerical goal must be reasonable and achievable. Under our current Pass/Fail (2-Level) employee performance appraisal system for non-SES, employees “Fail” if they receive a “Not Achieved” on a Critical Result in their performance plan. Performance requirements and expected results should be worded in a way (including numerical or percentage goals) as to allow for qualitative considerations and mitigating circumstances not under the employee’s control, and should describe the lowest acceptable measurable result.